

Relativity Records Manager (R2M) v3.0 and R2M–Classified (R2M-C) v.3.0 by Relativity, Inc.

R2M Summary Report

The Joint Interoperability Test Command (JITC) began testing Relativity, Inc.'s Relativity Records Manager Version (v) 3.0, a stand-alone records management application (RMA), at Relativity's facility in Jonesboro, Arkansas, from 24 through 28 February 2003. The JITC conducted follow-on testing from March 19 and 20, 2003, at Sierra Vista, Arizona, and on March 22, 2003, at Tucson, Arizona. The implementation was verified using version 7.0 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

In addition, JITC tested Relativity Records Manager–Classified v3.0 for compliance with Chapter 4, Management of Classified Records, from April 14 through 17, 2003, at Tucson, Arizona. All mandatory requirements of Chapter 4 were satisfied.

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1. Product Identification

Relativity Records Manager v3.0, hereafter referred to as R2M, is a stand-alone RMA. It incorporates records management seamlessly into a document management environment. All documents, including records, must be brought into the document management environment prior to any other activity being taken upon them.

Relativity Records Manager - Classified v3.0, hereafter referred to as R2M-C, is provides additional functionality to the base R2M product, giving organizations the ability to manage classified records.

2. Test Configuration

The testbed hardware configuration consisted of:

- one PC server running Microsoft (MS) Windows 2000 Advanced Server, MS Exchange 2000 (SP 3), and MS SQL Server 2000.
- one PC client running MS Windows XP, MS Office XP Professional, MS Outlook 2002, R2M v3.0, and R2M-C v3.0
- one PC client running MS Windows 2000, MS Office 2000, MS Outlook 2000, R2M v3.0, and R2M-C v3.0
- one PC client running MS Windows 98 Second Edition, MS Office 2000, MS Outlook 2000, and R2M v3.0

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

R2M/R2M-C manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

R2M/R2M-C stores and displays dates using a four-digit year format. The software recognizes leap years including the year 2000. Date validation routines are built into record profile and search forms.

3.3 Implementing Standard Data [C2.1.3.]

R2M/R2M-C comes configured with the data elements as defined in DOD 5015.2-STD. The records manager can configure additional fields for custom use. The additional fields can consist of text fields, date fields, numeric fields, or Boolean fields.

To assist the user in filing documents, they are allowed to create templates with commonly used data. Users apply the appropriate template to the record they're filing and update the information as required.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for these products against version two of DOD 5015.2-STD¹, therefore test data was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

Relativity provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

¹ Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.6 *Implementing File Plans [C2.2.1.]*

R2M/R2M-C provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. The Records Manager can create and amend all of the information needed for file plans.

Access to the associated R2M/R2M-C functions is granted/restricted through the assignment of privileges to users. During the test "privileged" users were able to create and manage folders.

3.7 *Scheduling Records [C2.2.2.]*

R2M/R2M-C automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

3.8 *Declaring and Filing Records [C2.2.3.]*

Documents must be brought into the document management environment (the user's Workbasket) prior to filing. For electronic records, users drag and drop the file into the Workbasket using an Explorer-like interface. R2M/R2M-C makes a clone copy of the file and leaves the original file in the original location. This includes e-mail.

At the time of bringing a document into the document management environment, R2M/R2M-C applies a unique record identifier and a date/time stamp to each record. The user cannot modify either of these fields. The record identifier remains with the document through out its lifecycle including disposition of it as a record.

R2M/R2M-C allows the users to insert documents into the user's workbasket. After assigning a file code, the document is eligible for declaration or promotion as an official record. Documents without file codes cannot be promoted. The records manager may assign promotion privileges to all users or to only a few users, as appropriate to the organization's records management policies.

Users file non-electronic records by filing a Catalog object.

3.9 *Filing E-mail Messages [C2.2.4.]*

To file e-mail, users select the e-mail from their Outlook application and import it into the document management environment. E-mail can be imported as an .msg file (which includes the e-mail message and attachments as a single record). R2M/R2M-C can also import the message and attachments separately.

R2M/R2M-C collects the addressee, subject, sender, and other required information and automatically populates the appropriate fields in the e-mail profile. Users can edit the Subject, Addressee, and Other Addressee(s) fields. The date sent/received is not editable. Users cannot edit the e-mail message, even when it is in the Workbasket.

R2M/R2M-C stores incoming e-mail in the repository in the native e-mail format and not reconstructed from e-mail parts.

3.10 *Storing Records [C2.2.5.]*

R2M/R2M-C stores the electronic file and record profile as a single Binary Large Object (BLOB) in the database.

3.11 *Screening Records [C2.2.6.1.]*

R2M/R2M-C's search tools allowed users to screen records due for disposition actions on future dates.

3.12 *Closing Record Folders [C2.2.6.2.]*

R2M/R2M-C offers records managers and privileged users the ability to close folders. Privileged users can only close folders in the record categories to which they have been assigned folder management privileges.

3.13 *Cutting Off Record Folders [C2.2.6.3.]*

R2M/R2M-C provides authorized users with a link to a "Records Processing Home Page." This page provides records managers with an overview of what records are eligible for cutoff on the current date.

3.14 *Freezing/Unfreezing Records [C2.2.6.4.]*

R2M/R2M-C provides the capability to freeze and unfreeze records at the record and folder level. If a record folder is frozen, no records in that folder qualify for disposition until the freeze is lifted.

3.15 *Transferring Records [C2.2.6.5.]*

R2M/R2M-C copies files and profile information for the selected records to a user selected location. After records are transferred and the transfer is verified, the Records Manager should delete the original record metadata and the electronic file. The profile information for the transferred file is captured in a delimited ASCII selected format. This file can be then stored as a record of the transfer action.

3.16 *Destroying Records [C2.2.6.6.]*

During disposition processing, all records in the R2M/R2M-C database marked for destruction were deleted from the database and repository. The associated record profile data was also deleted. The records were deleted in such a way that they could not be reconstructed by a file recovery utility.

3.17 *Cycling Vital Records [C2.2.6.7.]*

R2M/R2M-C provides the ability to gather records based on cycling dates and to update the cycle date after records have been reviewed. During the test, R2M/R2M-C attached logic to the vital record review date fields that sent a reminder the records manager when folders were due for vital records review.

3.18 *Searching for and Retrieving Records [C2.2.6.8.]*

R2M/R2M-C also provides a search capability that allows searches to be built on any combination of metadata. The utility provides a lookup reference feature that presents all the data that can be searched on for a specific field. Users can either select one of these options or enter partial words and wildcards. This search capability provides access to fields, classification locations, wildcards, Boolean operations, etc. Users can build complex search queries using these tools and save them for later action.

3.19 *Access Controls [C2.2.7.]*

R2M/R2M-C provides the capability to define and maintain group and user accounts. Functional rights assigned at the group level limit the permissions that can be assigned at the user level. Access control to supplemental markings and the file plan are assigned at the user level.

3.20 *System Audits [C2.2.8.]*

R2M/R2M-C provides system audits to the Records Manager. The audit functionality satisfies all required auditing requirements.

3.21 *System Management Requirements [C2.2.9.]*

The supporting operating systems and database management systems provided necessary backup and restore functionality.

4. *Management of Classified Records*

R2M-C satisfied all Chapter 4 requirements. The following paragraphs highlight R2M-C's implementation of specific Chapter 4 requirements.

4.1 *Managing Classified Records [C4.1.]*

R2M-C provides the capability to manage classified records. From the workbasket, users add metadata that describes the classified record and file it to the R2M-C repository.

4.2 *Mandatory Metadata [C4.1.1.]*

R2M-C comes with all the classified metadata elements as specified in Table C4.T1. of the Standard.

4.3 *Classification Guides [C4.1.10.]*

R2M-C provides the capability to establish an automatically triggered classification guide. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Current Classification," and "Declassify On" fields are automatically populated. Additionally, users will only see those classification guide indicators that match their security profile.

4.4 *Editing Records [C4.1.12.]*

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

4.5 *Restricted Data and Formerly Restricted Data [C4.1.13.]*

R2M-C provides the capability to handle classified records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, the "Downgrade On" and "Declassify On" fields are automatically disabled.

4.6 *Record History Audit [C4.1.16.]*

R2M-C's record history file captures replaced metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions.

4.7 *Access Control [C4.1.20.]*

R2M-C provides the capability to restrict access to records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or No Markings. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access.

R2M-C also provides additional support for Special Access Program (SAP) markings and Code Words; however, SAP and Code Word support was not tested.

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